



JC04 Received PCT/PTO - 1 AUG 2005  
**10/517275** PCT  
#4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/517,275  
Applicant : Wei-Ping Min *et al.*  
Filed : June 10, 2003  
Docket No. : 4767-217 LAB  
Customer No. : 24223  
For : IMMUNOMODULATION USING ALTERED DENDRITIC CELLS

Confirmation No: 9949

July 29, 2005

United States Patent and Trademark Office  
Customer Service Window, **Mail Stop Missing Parts**  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C.  
371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

Sir:

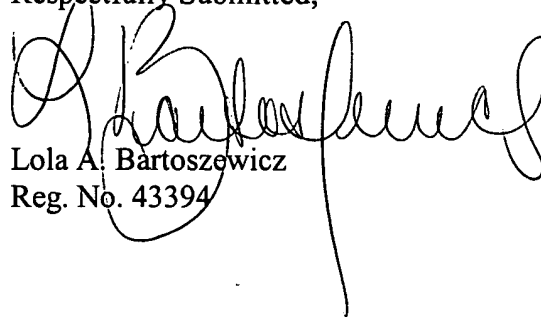
This is responsive to the "Notification of Missing Requirements Under 35 U.S.C. 371 In the United States Designated/Elected Office (DO/EO/US)" mailed 06/02/2005, in the above identified patent application.

Enclosed herewith please find the following:

- Executed Declaration
- Preliminary Amendment and Response to Notice to Comply with Requirements For Patent Applications Including Nucleotide Sequence and/or Amino Acid Sequence Disclosures
- Submittal of Sequence Listing on Compact Disc Pursuant to 37 CFR § 1.52(e)(3)(ii)
- Compact Disc containing the Sequence Listing
- Paper Copy of the Sequence Listing
- Copy of the Patent Office Notice
- Post Card

It is asserted that the application is now in good order. We now await the issuance of an Office Action, in due course.

Respectfully Submitted,

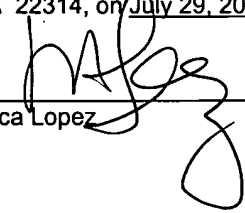


Lola A. Bartoszewicz  
Reg. No. 43394

24223  
SIM & McBURNEY  
6<sup>th</sup> Floor  
330 University Avenue  
Toronto, Ontario M5G 1R7  
Phone: 416-595-1155  
Fax: 416-595-1163

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being couriered to the United States Patent & Trademark Office by Federal Express in an envelope addressed to: United States Patent and Trademark Office, Customer Window, Mail Stop Missing Parts, Randolph Building, 401 Dulany Street, Alexandria, VA 22314, on July 29, 2005.



---

Monica Lopez

Rec'd 10/517/PTO 01 AUG 2005  
10/517275

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/517,275 Confirmation No: 9949  
Applicant : Wei-Ping Min *et al.*  
Filed : June 10, 2003  
Docket No. : 4767-217 LAB  
Customer No. : 24223  
For : IMMUNOMODULATION USING ALTERED DENDRITIC CELLS

July 29, 2005

United States Patent and Trademark Office  
Customer Service Window, **Mail Stop Missing Parts**  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

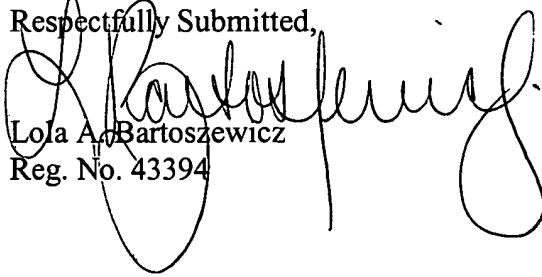
**SUBMITTAL OF SEQUENCE LISTING ON COMPACT DISC  
PURSUANT TO 37 CFR § 1.52(e)(3)(ii)**

Sir:

This is responsive to the "Notification of Missing Requirements Under 35 U.S.C. 371 In the United States Designated/Elected Office (DO/EO/US)" mailed 06/02/2005, in the above identified patent application.

Pursuant to 37 CFR § 1.52(e)(3)(ii), enclosed please find a compact disc containing the file name sequence listing. The file is 37kb in size and was created July 29, 2005. The machine format is IBM-PC. The operating system compatibility is MS Windows XP.

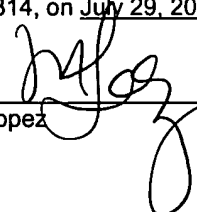
Respectfully Submitted,

  
Lola A. Bartoszewicz  
Reg. No. 43394

24223  
SIM & McBURNEY  
6<sup>th</sup> Floor  
330 University Avenue  
Toronto, Ontario M5G 1R7  
Phone: 416-595-1155  
Fax: 416-595-1163

**CERTIFICATE OF MAILING**

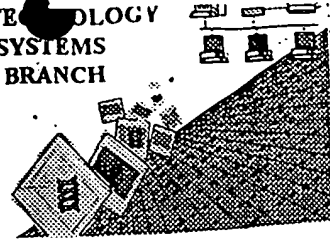
I hereby certify that this correspondence is being couriered to the United States Patent & Trademark Office by Federal Express in an envelope addressed to: United States Patent and Trademark Office, Customer Window, Mail Stop Missing Parts, Randolph Building, 401 Dulany Street, Alexandria, VA 22314, on July 29, 2005.

  
\_\_\_\_\_  
Monica Lopez

PT/10

Re

BIOTECHNOLOGY  
SYSTEMS  
BRANCH



10/517275

## CRF Problem Report

The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) experienced a problem when processing the following computer readable form (CRF):

Application Serial Number: 10/517,275  
Filing Date: 12/19/04  
Date Processed by STIC: 12/20/04

STIC Contact: Mark Spencer: Telephone: 571-272-2510; Fax: 571-273-0221

### Nature of Problem:

The CRF (was):

- ☒ (circle one) Damaged or Unreadable (for Unreadable, see attached)  
☐ Blank (no files on CRF) (see attached)  
☐ Empty file (filename present, but no bytes in file) (see attached)  
☐ Virus-infected. Virus name: \_\_\_\_\_ The STIC will not process the CRF.  
☐ Not saved in ASCII text  
☐ Sequence Listing was embedded in the file. According to Sequence Rules, submitted file should **only** be the Sequence Listing.  
☐ Did not contain a Sequence Listing. (see attached sample)  
☐ Other: \_\_\_\_\_

**PLEASE USE THE CHECKER VERSION 4.2 PROGRAM TO REDUCE ERRORS.  
SEE BELOW FOR ADDRESS:**

<http://www.uspto.gov/web/offices/pac/checker/chkrnote.htm>

Applicants submitting genetic sequence information electronically on diskette or CD-Rom should be aware that there is a possibility that the disk/CD-Rom may have been affected by treatment given to all incoming mail.

Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom.  
Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:

1. EFS-Bio (<http://www.uspto.gov/ebs/efs/downloads/documents.htm>) , EFS Submission User Manual - ePAVE)
2. U.S. Postal Service: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450
3. Hand Carry, Federal Express, United Parcel Service, or other delivery service (EFFECTIVE 06/05/04):  
U.S. Patent and Trademark Office, 220 20<sup>th</sup> Street S., Customer Window, Mail Stop Sequence, Crystal Plaza Two, Lobby, Room 1B03, Arlington, VA 22202

Revised 05/19/04

*Please mail this copy with  
the notice of missing requirements.*

Winston Abramo  
National Stage Processing  
Paralegal Specialist  
(703) 385-6421

10/517,275

C:\>A:

General failure reading drive A  
Abort, Retry, Fail?F

General failure reading drive A  
Abort, Retry, Fail?F  
Current drive is no longer valid>

← onscreen message when  
STIC PC tried to  
read submitted disk

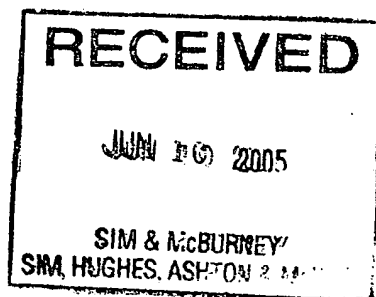


## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/517,275	Wei-Ping Min	4767-217 LAB

24223  
 SIM & MCBURNEY  
 330 UNIVERSITY AVENUE  
 6TH FLOOR  
 TORONTO, ON M5G 1R7  
 CANADA



INTERNATIONAL APPLICATION NO.	
PCT/CA03/00867	
LA. FILING DATE	PRIORITY DATE
06/10/2003	06/10/2002

CONFIRMATION NO. 9949  
 371 FORMALITIES LETTER



\*OC000000016175390\*

Date Mailed: 06/02/2005

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 12/09/2004
- Copy of the International Search Report filed on 12/09/2004
- Preliminary Amendments filed on 12/09/2004
- Biochemical Sequence Diskette filed on 12/09/2004
- Small Entity Statement filed on 12/09/2004
- Request for Immediate Examination filed on 12/09/2004
- U.S. Basic National Fees filed on 12/09/2004
- Priority Documents filed on 12/09/2004

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- This application clearly fails to comply with the requirements of 37 CFR. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes

no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

- The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d). Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

**For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:**

- For Rules Interpretation, call (571) 272-0951
- For Patentin Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.
- Send e-mail correspondence for Patentin Software Program Help @ [ebc@uspto.gov](mailto:ebc@uspto.gov)

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

WINSTON M ALVARADO

Telephone: (703) 308-9140 EXT 206

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/517,275	PCT/CA03/00867	4767-217 LAB